LOCAL AGENCY A&E CONSULTANT PROCUREMENT PROCESS

Most Frequent Errors/Deficiencies
Most frequent errors during Procurement Planning Phase

- No independent cost estimate prior to advertising; “not-to-exceed” $ amount
- Inadequate determination of project type (single phase vs. multiple phase vs. on-call)
- No method of payment for contract
- Poor record keeping and document retention
Most frequent errors during Solicitation and Advertisement Phase

- Lack of evaluation criteria with level of importance (weights) in RFP/RFQ
- No Conflict of Interest Statements by selection panel
- No method of payment specified in RFP/RFQ
- No cost proposal requirement specified in RFP/RFQ
- Inadequate/undocumented advertisement method for the RFP/RFQ
- Inadequate documentation of a responsiveness review prior to acceptance of the RFP/RFQ
Most frequent errors during Evaluation and Selection Phase

- Lack of retention of original score sheets from the evaluation process
- Inadequate documentation during the secondary evaluation process/interview portion
- Actual evaluation criteria differ from original described in the RFP/RFQ without appropriate documentation
Most frequent errors during Contract Conformance Review by Caltrans Audits & Investigation (A&I)

- Missing cost proposals for the subconsultants
- Missing and/or incomplete certification forms (10-Ks)
- Missing breakdown of ODCs
- Incomplete or incorrect cost proposal format used
- Unallowable method of payment used (rate sheets)
- Mark-ups included in cost proposals
- Missing fiscal provisions in Standard Agreement (boilerplate)
- Incomplete Internal Control Questionnaire (ICQ)
- Inconsistent Indirect Cost Rate (ICR) in 10-Ks and the cost proposal
Most frequent errors during Contract Cost negotiation Phase

- No documented price/fee negotiations
- Contract cost proposal does not meet LAPM standard (Exhibit 10-H)
Most frequent errors during Contract Execution Phase

- Lack of Contract Reviewer Checklist (Exhibit 10-C)
- Incomplete fiscal and miscellaneous provisions in final contract
- Lack of documented contract approval process